


State of Alaska

Department of Labor and Workforce Development

Division(s): Business Partnerships	Policy No.: 755.00
Subject: Management Information System (MIS) Data Collection Policy	Pages: 3
Reference: Workforce Investment Act (WIA) Sections 134(a) & (d), 136(e) & (f), 159(a), 185(c); 20 CFR 652 et al, Parts 663 and 664; 29 CFR 37; AS 23.15 ; 8 AAC 84; 8 AAC 87	Effective: November 24, 2003
	Revised:
Approved: <u></u> <u>November 24, 2003</u> Katherine Farnham, Executive Director, DBP Date	

Purpose: Establish procedures for data collection and handling to ensure quality, timeliness and integrity of client data and resulting reports.

Policy: Data shall be collected and entered into the MIS within established timelines as defined herein, ensuring compliance with data verification and data validation requirements. All records must be accurate and free from error to preclude compromising individual unit performance measurement and/or reporting.

Data Entry Timeframe

All transactions relating to WIA and State Training and Employment Program (STEP) registrations shall be entered or updated in the MIS within 30 business days of their respective action date. These include:

A. Program Eligibility and basic Registration elements:

1. For WIA tabs Reg1, Reg2 and Reg3
2. For STEP tabs Reg1 and Reg2
3. Eligibility determination requires considerably less information than WIA reporting, consequently, it will be possible to create and save records in the MIS with missing data elements and/or critical validation errors. However, the MIS will not allow saving changes or updates to the record if critical validation errors still exist on or after the 120th day after the registration date or when attempting to exit the record.

B. Individual Employment Plan (IEP) for WIA Adult, WIA Dislocated Worker and STEP registrants /Individual Service Strategy (ISS) for WIA Youth registrants.

C. Services Records for each service provided the participant.

- D. Support/Training cost records for each Transaction Authorization form executed.
- E. Outcome/Exit information.
 - 1. Client address and phone number(s) shall be verified and/or updated in the MIS as part of the exit process.
 - 2. The participant's contact person's address and phone shall also be verified and/or updated in the MIS as a part of the exit process.
- F. Supplemental Information for contacts during the first (1st), third (3rd) and fifth (5th) quarters following the exit quarter.
- G. Case Notes. Each STEP registration must have at least one Case Note with the following minimum elements:
 - 1. Case Note Type shall be Eligibility;
 - 2. Access Level shall be Public;
 - 3. The Comments tab shall identify the specific decisions made in eligibility determinations.

Data Verification Methods

Data verification is a process wherein a sampling of the computerized record is checked against the original paperwork or other source documentation.

The Grantees, Regional Managers and/or designees will regularly, but no less than semi-annually, perform an audit of at least 5 % of the active participant records for the preceding twelve months using the following methods:

- A. Verify the accuracy of the computerized record data against original source documents.
- B. Perform logical checks of the data. Although data may be correctly transcribed from the original forms, there may have been misprints, typographical errors, or other mistakes on the forms themselves.
- C. Verify the appropriate source documentation is in the case file for those elements requiring source documentation; e.g. copy of the client's Social Security card or naturalization papers for citizenship, etc.

Data Validation Methods

Data validation involves checking the reasonableness of all data entered into the database. The validation of MIS data should not be confused with the Unemployment Insurance Data Validation (UIDV) program. UIDV is a federally mandated review process that assesses the validity of federal report item counts for quantity and quality.

Data validation is an automated process using the MIS record validation features and takes two forms:

- A. Validate each record through the use of the “Validate” or “Save” button on the bottom of the screen when in the client record. Critical and system errors from this validation process will be corrected as soon as possible, but no later than at exit.
- B. Grantees, Regional Managers and/or designees shall develop procedures to ensure all records are validated en masse no less than monthly. Staff shall employ the Validation Report from the Reports\System Reports menu option to validate all client records.
 1. Settings shall include at a minimum:
 - (a) Current and first past Fiscal Year (i.e. the ‘Updated After field’ will reflect July 1st of the first past Fiscal year);
 - (b) All system errors;
 - (c) All critical errors;
 - (d) All programs and;
 - (e) All staff.
 2. All Validation Report system and critical errors shall be corrected within 15 business days of the date of the report.
 3. Although minor errors will not prevent saving records, they can affect program delivery decisions and therefore should also be reviewed periodically.